

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
MFA-18802/04

In Re Application Of: Palani Balaya et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/527,638	March 14, 2005		25006		

**NOVEL ELECTRODES FOR LI-BASED ELECTROCHEMICAL ENERGY STORAGE DEVICES AND  
 LI-BASED ELECTROCHEMICAL STORAGE DEVICE**

Address to:  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**
☐ the fee set forth in 37 CFR 1.17(p).

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

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Re: NOVEL ELECTRODES FOR LI-BASED ELECTROCHEMICAL ENERGY STORAGE DEVICES  
AND LI-BASED ELECTROCHEMICAL STORAGE DEVICE

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(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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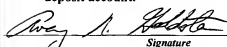
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Dated: July 14, 2005

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 4

Application Number	10/527,638
Filing Date	March 14, 2005
First Named Inventor	Palani Balaya
Art Unit	
Examiner Name	
Attorney Docket Number	MFA-18802/04

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	†
		Country Code* Number* Kind Code* (if known)	MM-DD-YYYY			
/BL/		EP 0 249 118 A1	12-16-1987	GTE Laboratories Inc.		
/BL/		EP 0 393 379 A1	10-24-1990	Energy Research Corp.		
/BL/		EP 0 817 294 A1	01-07-1998	Fuji Photo Film Co., Ltd.		
/BL/		JP 58051472	03-26-1983	Hitachi Maxell Ltd.		
/BL/		JP 08279357	10-22-1996	Sanyo Electric Co. Ltd.		
/BL/		JP 09055201	02-25-1997	Nippon Telegr. & Teleph.		

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Signature

/Ben Lewis/

Date \_\_\_\_\_

**Considered**

01/15/2010

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	2	of	4
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**Complete if Known**

Application Number	10/527,638
Filing Date	March 14, 2005
First Named Inventor	Palani Balaya et al
Art Unit	
Examiner Name	
Attorney Docket Number	MFA-18802/04

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> Number * Kind Code <sup>3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	† <sup>4</sup>
/BL/		JP 10321228	12-04-1998	Nippon Telegr. & Teleph.		
/BL/		JP 2000128539	05-09-2000	Ube Ind. Ltd.		
/BL/		JP 2000243453	09-08-2000	Nissan Motor Co. Ltd.		
/BI/		JP 2000106174	04-11-2000	Matsushita Electric Ind.		
/BL/		JP 2001-110447	04-20-2001	Sharp Corp.		
/BI/		WO 99/40029	08-12-1999	H.C. Starck GmbH & Co. KG		

Examiner Signature	/Ben Lewis/	Date Considered	01/15/2010
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Transition is underway. The application is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

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**Complete if Known**

Application Number	10/527,638
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Art Unit	
Examiner Name	
Attorney Docket Number	MFA-18802/04

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	/Ben Lewis/	Date Considered	01/15/2010
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**\*EXAMINER:** Include if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Initials copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document to be cited. <sup>6</sup> Enter the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language Translation is attached.

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Examiner Name	
Attorney Docket Number	MFA-18802/04

Sheet 4

of 4

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/BL/		BARKER et al. Lithium insertion properties of the layered LiMoO <sub>2</sub> (R3m) made by a novel carbothermal reduction method. Solid State Ionics 158, 261-267 (2003).	
/BL/		Li et al. Direct Imaging of the Passivating Film and Microstructure of Nanometer-Scale SnO Anodes in Lithium ... Electrochemical and Solid-State Letters 1(6), 241-243 (1998).	
/BL/		POIZOT et al. Nano-sized transition-metal oxides as negative-electrode materials for lithium-ion batteries. Nature 407, 496-499 (28 Sept. 2000).	
/BL/		LARUELLE et al. On the Origin of the Extra Electrochemical Capacity Displayed by MO/Li Cells at Low Potential. Journal of The Electrochemical Society 149(5), A627-A634 (2002).	
/BL/		Li et al. Studies on Capacity Loss and Capacity Fading of Nanosized SnSb Alloy Anode for Li-Ion Batteries. Journal of The Electrochemical Society 148(8), A915-A922 (2001).	
/BL/		ARAI et al. Cathode performance and voltage estimation of metal trihalides. Journal of Power Sources 68, 716-719 (1997).	
/BL/		Li et al. Surface-Enhanced Raman Scattering Study on Passivating Films of Ag Electrodes in Lithium Batteries. J. Phys. Chem. B 104, 8477-8480 (2000).	

Examiner Signature	/Ben Lewis/	Date Considered	01/15/2010
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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